



DEPARTMENT OF CORRECTIONS POLICIES AND PROCEDURES

Policy No.: DOC 1.5.5	Subject: CASE RECORDS MANAGEMENT
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Section 5: Case Records / Good Time	Revision Date: Jan. 24, 2000 April 4, 2000
Signature: /s/ Rick Day, Director	Effective Date: Oct. 1, 1996

I. POLICY:

It is the policy of the Department of Corrections to maintain separate files for each offender under the jurisdiction of the Department. This policy outlines general procedures for the establishment and upkeep of offender records in Department facilities and programs.

II. AUTHORITY:

53-1-203, MCA. Duties and Responsibilities of the Department of Corrections
2-6-201 through 2-6-213 and 2-15-1013, MCA. Public Records Management Act
M.O.M., Vol. 1, Chapter 1-0800
DOC 1.5.6, Offender Records Access and Release of Information
DOC 1.5.8, Offender Records Retention and Destruction

III. DEFINITIONS:

Offender Case File is an automated or hard copy record which consists of legal documents, reports, submissions, statements and support materials used to make decisions about the offender in regard to custody, classification, treatment programs, supervision, parole, probation and general management.

Program Files are all other files utilized by correctional facilities and programs such as clinical, medical and unit mini files.

Need to Know means the staff member requesting offender file information must have that information to properly and adequately perform his/her job-related duties and responsibilities.

Profiles (Program Reporting of Offender Files) means a record of an offender's history with the Department which is maintained electronically in the central office. Other uses for these files include the

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development of statewide caseloads for probation and parole, determination of release from supervision dates on selected offenders, location of offenders, conducting research and statistical reports, and providing historical information for selected requests.

IV. PROCEDURES:

- A. The Profiles file generally contains the following information, although some items will be different for juvenile offenders:
 - C Committed name and offender number
 - C Current address
 - C Aliases
 - C Birth Date
 - C Physical Description
 - C Social Security number
 - C FBI number
 - C State I.D. number
 - C Tattoos, marks, and scars
 - C Emergency Contact
 - C Military history
 - C Associations with other offenders
 - C Victim information
 - C Court and Sentencing Data
 - C Current Offense
 - C Expiration dates of sentence, parole, and/or probation
 - C Risk and Needs assessments
 - C Prior criminal history
 - C External placements/movement
 - C Conditions of probation and/or parole
 - C Test and Assessment information
 - C Other information as required

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B. Offender Case Files

Offender case files for adult offenders will be established at the time of sentencing. For juvenile offenders, this file will be established upon commitment or referral to the Department.

Offender case files are the primary records on all adult and juvenile offenders. These records contain the complete sentencing/commitment/referral documents that authorize the Department to maintain legal custody and/or supervision of offenders. These files are used on a daily basis for routine case management and for making decisions about offenders in regard to placements, custody, classification, treatment and supervision. Adult offender case files typically contain the following information:

Adult Offender File Information

Committed name and offender number

- C Date and place of birth
- C Physical description
- C Scars, marks, tattoos
- C AKA's
- C Religious Preference
- C Photographs
- C FBI and State I.D. numbers
- C Fingerprints
- C Social Security number
- C Criminal history
- C Juvenile history
- C Official court judgement and information
- C Pre-sentence investigations
- C Reports of violations
- C Parole documents, reports and dispositions
- C Supervised release and furlough information
- C Good time calculations
- C Projected release dates

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- C Detainer and notification requests
- C Victim notifications
- C Risk and needs assessments
- C Expiration dates
- C Projected discharge and parole eligibility dates
- C Conditions of supervision
- C Registration requirements for sex offenders, arsonists and violent offenders
- C DNA records
- C Separation orders/known enemies
- C Custody assessment forms
- C Disciplinary records
- C Treatment information
- C Basic information sheets
- C Emergency Contact
- C Other information as required
- C Admission Inventory of Personal Property
- C Driver's license, social security card, I.D. card

Juvenile Offender File Information

For juveniles the following information is typically found in the offender case file:

- C Name, age, sex, place and date of birth, and race or nationality
- C Physical description
- C Offenses
- C Initial intake information form/date of admission/recommitment data
- C Documented legal authority to accept the juvenile offender
- C Information on the referral source
- C Probation officer or caseworker
- C AKA's
- C Photographs
- C Case history/social history
- C Education history
- C Religious Preference
- C Medical information and consent forms

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- C Mental health information
- C Name, relationship, address and phone number of parents and/or the persons with whom the juvenile resided immediately prior to admission/referral to the Department
- C Drivers license number, social security number, Medicaid numbers and, where applicable, tribal registration number
- C Court orders, adjudications and dispositions
- C Signed release of information forms, when applicable
- C Program rules and disciplinary policy which have been signed by the juvenile
- C Individual plans and program assignments
- C Progress reports on program involvement
- C Grievance and disciplinary records
- C Referrals to other agencies
- C Final discharge or transfer reports
- C Copies of birth certificates and social security cards
- C Parole placement documents/history
- C Placement guidelines
- C Risk and need scores
- C Field Investigation reports

C. File Format

1. All files shall be maintained with separate, identifiable sections for each category of information in a format standardized by the facility or program.
2. Each offender files shall be assigned identifying numbers that reflect the offender's adult or juvenile offender number.
3. Files shall be maintained in a sequential order for easy reference.
4. All incoming file material will be placed in the file in a timely manner, but in all cases within 60 days.

D. File Storage and Security Issues

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1. All case files will be kept separately from all other offender records, in a secure area of the facility or program.
2. Offender case files will only be removed from the designated storage location when a signed receipt is obtained from the staff member removing the file.
3. All active files and offender case files will be accounted for on a regular basis and reconciled against the official count. In the case of Department field offices, any file removed from an office must be signed out by the staff member removing the file.
4. Records in use must be directly supervised and controlled by a staff member. No unauthorized person may have access to offender records. Only staff with a "need to know" may have access to offender files.
5. Program files (mini-files, visiting, medical, clinical) must be stored under comparable levels of security, with proper accountability for removal.

E. Record Entries

Every program and facility will establish procedures to assure accountability of entries into the case record and to ensure timeliness of events and reporting.

F. Investigative Files

Confidential investigative files may be identifiable as to individual offenders, but will be maintained separately from central and offender case file records. Investigative files should not be combined with other file information, nor will they be reviewable under any freedom of information procedure.

G. Release of File Information

1. Release of offender file information, including information compiled in program files, will be strictly limited to conform to policy [DOC 1.5.6](#), Records Access and Release, and appropriate federal and State statutes.
2. For the purposes of this policy and for production of such records in court, the Director, Facility Administrator, or a designee is the official custodian of all offender records.

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3. Offender files will be available to Department staff only on a "need-to-know" basis. No file material will be removed from the Department, a facility or a program, or produced for any authority without written application or court order and the approval of the Director or Facility Administrator.

H. Records Retention and Destruction

The retention and destruction of all offender records will comply with policy DOC 1.5.8, Offender Records Retention and Destruction. Records not otherwise regulated or controlled will be destroyed after three years. The Department will maintain a perpetual record of the disposition of all offender files. All facilities and programs must establish retention and destruction procedures for electronic and hard copy files that comply with Department policy, applicable State statutes and M.O.M.

V. CLOSING:

Questions concerning this policy shall be directed to the facility or program records unit supervisor.